

06/18/01

jc970 U.S. PTO

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Please type a plus sign (+) inside this box ☒PTO/SB/05 (03-01)
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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	98-058/1D
First Inventor	Kunal Taravade et al.
Title	Confinement Device for Use in Dry Etching of Substrate Surface and Method of Dry Etching a Wafer Surface.
Express Mail Label No.	EL 643644905 US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 31]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☐ Drawing(s) (35 U.S.C. 113) [Total Sheets 7]
5. Oath or Declaration [Total Pages 2]
 - a. ☐ Newly executed (original or copy)
 - b. ☒ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☒ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

<input type="checkbox"/> Continuation	<input checked="" type="checkbox"/> Divisional	<input type="checkbox"/> Continuation-in-part (CIP)	of prior application No. 09, 228,906
Prior application information.		Examiner <u>Alva Powell</u>	Group Art Unit: 1763

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.**19. CORRESPONDENCE ADDRESS**☐ Customer Number or Bar Code Label ☒ Correspondence address below

Name	PETE SCOTT				
Address	LSI LOGIC CORPORATION				
	1551 McCarthy Blvd., MS D-106				
City	Milpitas	State	CA	Zip Code	95035
Country	USA	Telephone	408/433-8708	Fax	408/433-7460

Name (Print/Type)	PETE SCOTT	Registration No. (Attorney/Agent)	33,279
Signature	<i>Pete Scott</i>	Date	7 June 2001

Burden Hour Statement. This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.



86/18/01

FEE TRANSMITTAL

Patent Fees are subject to annual revision on October 1.

These are the fees effective October 1, 1997.

Small Entity payments must be supported by a small entity statement,
 otherwise large entity fees must be paid. See Forms PTO/SB/09-12.
 See 37 C.F.R. 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT **\$944****Complete if Known**

Application Number	09/228,906
Filing Date	
First Named Inventor	Kunal Taravade
Group Art Unit	1763
Examiner Name	Alva Powell
Attorney Docket No.	SYM/LSI-105A / 98-058/1D

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payment to:

Deposit Account Number

12-2252

Deposit Account Number

LSI LOGIC CORPORATION

☒ Charge Any Additional Fee required Under 37

☐ Charge the Issue Fee Set in 37 C.F.R. 1.18 at the Mailing of the Notice of

2. ☐ Payment Enclosed:

☐ Check ☐ Money Order ☐ Other
FEE CALCULATION**1. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Large Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
104	760	201	380	Utility filing fee	\$710
106	310	206	155	Design filing fee	
107	480	207	240	Plant filing fee	
108	760	208	380	Reissue filing fee	
114	0	214	0	Provisional Filing fee	

SUBTOTAL (1) **\$710****2. EXTRA CLAIM FEES**

	Extra Claim	Fee from	Fee Paid
Total claim	33	-20**= 13 X \$18 =	234.00
Independent Claims		-3**= 0 X \$78 =	\$0.00
Multiple Dependent		\$260 =	\$0.00

**or number previously paid, if greater; For Reissues, see below

Large Fee Code	Entity Fee (\$)	Large Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	78	202	39	Independent claims in excess of 3
104	260	204	130	Multiple dependent claim, if not paid
109	78	209	39	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) **\$234****FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Fee Code	Entity Fee (\$)	Large Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing request for reexamination	
112	920*	112	920	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	950	217	475	Extension for reply within third month	
118	1510	218	755	Extension for reply within fourth month	
128	2,060	228	1,030	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,320	241	660	Petition to revive - unintentional	
142	1,320	242	660	Utility issue fee (or reissue	
143	450	243	225	Design issue fee	
144	670	244	335	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional application	
126	240	126	240	Submission of Information Disclosure Statement	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	790	246	395	Filing a submission after final rejection (37 CFR 1.129 (a))	
149	790	249	395	For each additional invention to be examined (37 CFR 1.129 (b))	

Other fee (specify)

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) **\$0****SUBMITTED BY****Complete (if applicable)**

Typed or printed name

Peter Scott

Reg. Number

33,279

Signature

Date

7 June 2001

Deposit Account User ID

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of :

Charles W. Jurgensen et. al.

Serial No. : 09/228,906

Group Art Un 1763

Filed : January 11, 1999

Examiner: Powell, Alva

For : Confinement Device for Use in Dry Etching of Substrate Surface and Method of Dry Etching a Wafer Surface

Atty Docket : SYM/LSI-105A / 98-058

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as ~~First Class~~ ^{Express} Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington D.C. 20231, on the date indicated below: EL 64364490503

Maria Kovacs

June 18, 2001
Date

Maria Kovacs
Signature

CERTIFICATION UNDER 37 C.F.R. 3.73(b)

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

LSI Logic Corporation, a Delaware corporation, certifies that it is the assignee of the entire right, title and interest in the patent application.

The undersigned has reviewed all the documents in the chain of title of the patent application identified above and, to the best of the undersigned's knowledge and belief, title is in the assignee identified above.

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

LSI Logic Corporation
1551 McCarthy Blvd., MS D-106
Milipitas, CA 95035
(408) 433-8708

Date: 6/13/01

Respectfully submitted,

Sandeep Jaggi
Chief IP Counsel
Corporate Assistant Secretary
LSI LOGIC CORPORATION